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PTO/SB/05 (03-01)  
Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. YOR920010100US2 (8728-493 DIV)  
First Inventor Paul S. Andry  
Title Tilted Vertical Alignment of Liquid Crystals.....  
Express Mail Label No. EV 329488353US

17858 U.S. PTO  
10/706842



## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 18]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 7]
5. Oath or Declaration [Total Pages 2]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement [Power of Attorney]  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 [Copies of IDS Citations]
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09 / 877,803  
Prior application information: Examiner Markham, Wesley D. Group Art Unit: 1762

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label [Insert Customer No. or Attach bar code label here] or ☐ Correspondence address below

Name	Frank Chau, Esq.				
Address	F. CHAU & ASSOCIATES, LLP				
	1900 Hempstead Turnpike				
City	East Meadow	State	New York	Zip Code	11554
Country	USA	Telephone	516-357-0091	Fax	516-357-0092

Name (Print/Type)	Koon Hon Wong	Registration No. (Attorney/Agent)	48,459
Signature	[Signature]		Date 11-11-02

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 770.00

## Complete if Known

Application Number	
Filing Date	November 11, 2003
First Named Inventor	Paul S. Andry
Examiner Name	
Art Unit	
Attorney Docket No.	YOR920010100US2 (8728-493 DIV)

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number: 50-0510/IBM  
Deposit Account Name: IBM/Yorktown Heights

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☐ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	750	2001	375	Utility filing fee	770.00
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$ 770.00

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims: 5  
Independent Claims: 1  
Multiple Dependent Claims: 0  
Extra Claims: 0  
Fee from below: 18  
Fee Paid: 0  
-20\*\* = 0  
-3\*\* = 0  
290 = 0

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	84	2201	42	Independent claims in excess of 3	
1203	280	2203	140	Multiple dependent claim, if not paid	
1204	84	2204	42	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					(\$ 0

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	750	2809	375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$

## SUBMITTED BY

Name (Print/Type)	Koon Hon Wong	Registration No. (Attorney/Agent)	48,459	Telephone	516-357-0091
Signature		Date	11-11-03		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

PATENT

Atty. Docket No. YOR920010100US2 (8728-493 DIV)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Mail Stop: Patent Application  
Commissioner for Patents  
PO Box 1450  
Alexandria VA 22313-1450

APPLICATION FEE TRANSMITTAL

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s): Paul S. Andry, Praveen Chaudhari, James P. Doyle,  
Eileen A. Galligan, James A. Lacey, Shui-Chih A.  
Lien, Minhua Lu

For: TILTED VERTICAL ALIGNMENT OF LIQUID CRYSTALS  
EMPLOYING INORGANIC THIN FILM COMPOSITION AND ION  
BEAM TREATMENT

This application is a:

- ☐ Continuation  
☐ Continuation-In-Part (CIP)  
☒ Divisional

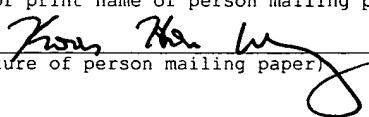
of co-pending U.S. application Serial No. 09/877,803  
filed on June 7, 2001.

CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this Application transmittal and the documents referred to as enclosed are being deposited with the United States Postal Service on this date November 11, 2003 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EV 329488353US addressed to: Commissioner for Patents, Patent Application, PO Box 1450, Alexandria VA 22313-1450.

Koon Hon Wong

(Type or print name of person mailing paper)

  
(Signature of person mailing paper)

**Enclosed are:**

- [X] 16 page(s) of specification
- [X] 1 page(s) of Abstract
- [X] 1 page(s) of claims
- [X] 7 sheets of drawings [X] formal [ ] informal
- [X] 2 page(s) of Declaration and Power of Attorney  
(copy as filed in co-pending application no.  
09/877,803, filed June 7, 2001).

[ ] Certified copy of applications

<u>Country</u>	<u>Appln. No.</u>	<u>Filed</u>
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from which priority under Title 35 United States Code, § 119  
is claimed

[ ] is enclosed.

[ ] will follow.

**Additional papers enclosed:**

- [X] Preliminary Amendment
- [ ] Information Disclosure Statement
- [ ] Form PTO-1449
- [ ] Other

**Fee Calculation (37 C.F.R. §1.16)**

For	Number Filed	Number Extra	Rate	Basic Fee
				\$770.00
Total				
Claims*	5	-20 = 0	x \$ 18.00	\$ .00
Independent				
Claims	1	-3 = 0	x \$ 86.00	\$ .00
Multiple	[ ] yes	Add'l. Fee	\$290.00	\$
Dependent				
Claims	[X] no	Add'l. Fee	None	= \$ .00
TOTAL				\$770.00

[ ] Verified Statement of "Small Entity" Status Under 37 C.F.R. § 1.27 [ ] is enclosed, [ ] was filed in parent application. Reduced fees under 37 C.F.R. § 1.9(f) (50% of total) paid herewith \$.00.

[ ] A check in the amount of \$.00 is enclosed for recording the attached Assignment.

[ ] A check in the amount of \$       to cover the filing fee is attached.

[X] Charge fee to Deposit Account No. 50-0510/IBM (Yorktown Heights) **TWO (2) COPIES OF THIS SHEET ARE ENCLOSED.**

\* Includes all independent and single dependent claims and all claims referred to in multiple claims. See 37 C.F.R. § 1.75(c).

[X] Please charge any deficiency as well as any other fee(s) which may become due under 37 C.F.R. § 1.16 and/or 1.17 at any time during the pendency of this application, or credit any overpayment of such fee(s) to Deposit Account No. 50-0510/IBM (Yorktown Heights). Also, in the event any extensions of time for responding are required for the pending application(s), please treat this paper as a petition to extend the time as required and charge Deposit Account No. 05-0510/IBM (Yorktown Heights) therefor. TWO (2) COPIES OF THIS SHEET ARE ENCLOSED.

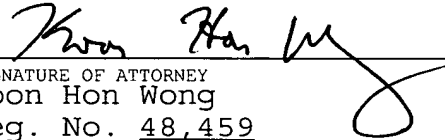
Relate Back - 35 U.S.C. § 120

[X] Amend the specification by inserting before the first line the sentence:

"This is a [ ] continuation [ ] continuation-in-part [X] divisional of copending application Serial No. 09/877,803, filed June 7, 2001."

[X] The prior application is assigned of record to International Business Machines Corporation, recorded on May 24, 2001, Reel 011900, Frame 0580.

Date: 11-11-03

  
SIGNATURE OF ATTORNEY  
Koon Hon Wong  
Reg. No. 48,459

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FC/KHW:mel